

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**SAM1.PAU.14C**

In Re Application Of: **RICHARD HUMPLEMAN, ET AL.**

Serial No. <b>NOT YET ASSIGNED</b>	Filing Date <b>HEREWITH</b>	Examiner <b>NOT YET ASSIGNED</b>	Group Art Unit <b>NOT YET ASSIGNED</b>
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Title: **METHOD AND APPARATUS FOR A HOME NETWORK AUTO-TREE BUILDER**

Address to:

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:
  1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,whichever occurs first.

Also submitted herewith is:

a certification as specified in 37 CFR 1.97(e);

**OR**

the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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**(Under 37 CFR 1.97(b) or 1.97(c))**

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SAM1.PAU.14C

In Re Application Of: **RICHARD HUMPLEMAN, ET AL.**

Serial No. NOT YET ASSIGNED	Filing Date HEREWITH	Examiner NOT YET ASSIGNED	Group Art Unit NOT YET ASSIGNED
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Title: **METHOD AND APPARATUS FOR A HOME NETWORK AUTO-TREE BUILDER**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of \$0.00 is attached.
- The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 01-1960 as described below. A duplicate copy of this sheet is enclosed.
  - Charge the amount of
  - Credit any overpayment.
  - Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_) on \_\_\_\_\_  
(Date)

Signature

Typed or Printed Name of Person Signing Certificate

\*This certificate may only be used if paying by deposit account.

Signature

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

"EXPRESS MAIL" MAILING LABEL NUMBER EES06208888US

DATE OF DEPOSIT 6/24/03

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL" POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10, ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE COMMISSIONER OF TRADEMARKS, WASHINGTON, D.C. 20231.

Bethany Menjivar, Application, Box 1460, Alexandria, VA 22313

(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

Dated: 6/23/03

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to Mail Stop Divisional Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 24, 2003. Express Mail Label No: EES06238888US

  
Signature

Applicant :Richard Humpleman, et al.  
Application No.: :Not yet Assigned  
Filed :Herewith  
Title : METHOD AND APPARATUS FOR A HOME NETWORK AUTO-TREE BUILDER  
Grp./Div. : Not yet Assigned  
Examiner : Not yet Assigned  
  
Docket No. : SAM1.PAU.14C

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Divisional Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Myers Dawes Andras & Sherman LLP  
19900 MacArthur Blvd., Suite 1150  
Irvine, CA 92612  
June 23, 2003

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, enclosed is FORM PTO-1449.

It is respectfully requested that these references be considered in the examination of this application, and identified in the list of references cited on the patent issuing on this application.

This Information Disclosure Statement is being submitted within three (3) months of the filing of an application. Therefore a fee is unnecessary.

Please charge or credit any additional fees to our Deposit Account No. 01-1960. An additional copy of this letter is enclosed for that purpose.

**Information Disclosure Statement**  
**Application No. Not Yet Assigned**

Respectfully submitted,

MYERS DAWES ANDRAS & SHERMAN LLP

By: \_\_\_\_\_

Kenneth L. Sherman  
Reg. No. 33,783  
(949) 223-9600

/eem

**INFORMATION DISCLOSURE CITATION**  
*(Use several sheets if necessary)*

Docket Number (Optional) <b>SAM1.PAU.14C</b>	Application Number <b>NOT YET ASSIGNED</b>
Applicant(s) <b>HUMPLEMAN, ET AL.</b>	
Filing Date <b>HEREWITH</b>	Group Art Unit

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	<b>6,081,519</b>	6/27/00	PETLER	370/356	370/398	3/25/96
	AB	<b>6,005,861</b>	12/21/99	HUMPLEMAN	370/352	370/466	3/3/99
	AC	<b>5,886,732</b>	3/23/99	HUMPLEMAN	348/10	348/7	11/22/95
	AD	<b>5,982,445</b>	11/9/99	EYER, ET AL.	348/461	348/7	10/21/96
	AE	<b>5,938,726</b>	8/1/99	REBER, ET AL.	709/217		10/17/96
	AF	<b>5,956,487</b>	9/21/99	VENKATRAMAN, ET AL.	709/218		10/25/96
	AG	<b>6,288,716</b>	9/2001	HUMPLEMAN, ET AL.	345/733		
	AH	<b>6,198,479</b>	3/2001	HUMPLEMAN, ET AL.	345/733		
	AI	<b>6,167,120</b>	12/2000	KIKINIS	379/90.01		
	AJ	<b>6,148,346</b>	11/2000	HANSON	709/321		

**FOREIGN PATENT DOCUMENTS**

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
AK	<b>07-305947</b>	11/24/1995	JAPAN				
AL	<b>05-189636</b>	7/30/1993	JAPAN				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

AM	System Architecture And Implementation of a Cebus/internet Gateway, Peter M. Corcoran and Jose Desbonnet, Dept. of Electronic Engineering, University College, Galway, Consumer Electronics, 1997. Digest of Technical Papers. ICCE., International Conference. ✓
AN	CeBus Network Access via the World-Wide-Web, Peter M. Corcoran and Jose Desbonnet Consumers Electronics, 1996. Digest of Technical Papers., International Conference. ✓

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>		Docket Number (Optional) <b>SAM1.PAU.14C</b>	Application Number <b>NOT YET ASSIGNED</b>
		Applicant(s) <b>HUMPLEMAN, et al.</b>	
*EXAMINER INITIAL	OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>		
AO	Browser-style interfaces to a home automation network, Peter M. Corcoran and Jose Desbonnet, Dept. of Electron. Eng., Univ. Coll. Galway, Ireland, Consumer Electronics, IEEE Transaction, 1997.		
AP	Home Vision - Version 2.4 - Custom Solutions Inc., HTINews Review, August 1997, URL, < <a href="http://www.hometoys.com/htinews/aug97/reviews/homevis/homevis1.htm">http://www.hometoys.com/htinews/aug97/reviews/homevis/homevis1.htm</a> > downloaded July 23, 2002, pp. 1-5		
AQ	Home Vision by Custom Solutions Inc., Home Control Software Review - HTINews, October 1996, URL < <a href="http://www.hometoys.com/htinews/oct96/reviews/revw0101.htm">http://www.hometoys.com/htinews/oct96/reviews/revw0101.htm</a> >, downloaded July 23, 2002, pp. 1-3		
AR	Chase Victor D., Building the Internet into appliances, Appliance Manufacturer, Chicago, January 1997, Volume 45, Issue 1, pp.		
EXAMINER		DATE CONSIDERED	
<b>*EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			